

UTAH DIVISION OF SECURITIES STATISTICS

<u>Enforcement</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>	<u>FY 01</u>	<u>FY 02</u>
Complaints Received	161	183	206	106	110	172
Cases Opened	86	102	136	112	89	106
Cases Closed	77	103	160	66	73	118
Administrative Cases						
Cases Filed	21	55	37	80	155	141
Orders to Show Cause	2	5	15	25	29	65
Cease and Desist Orders	0	6	5	11	3	24
Stipulated Settlements	8	11	18	22	47	20
Denials and Revocations	7	31	3	14	29	26
Civil Cases						
Lawsuits filed	2	0	0	1	0	1
Judgements	1	0	1	0	1	0
Criminal Cases						
Criminal Charges Filed	18	18	24	50	35	66
Convictions	6	16	23	28	15	30
Audits	40	44	31	20	32	28
Fines Paid	\$128,850	\$201,650	\$181,026	\$241,200	\$155,620	\$51,943
Funds Recovered or Ordered	\$3,818,226	\$3,155,659	\$11,467,399	\$4,256,132	\$7,189,526	\$16,582,868
<u>Licenses</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>	<u>FY 01</u>	<u>FY 02</u>
Broker-Dealers	1,465	1,641	1,703	1,878	2,304	1,868
Broker-Dealer Agents	57,353	65,838	70,482	84,623	94,715	82,945
Investment Advisers	102	121	116	121	142	129
Federal Covered Advisers	253	425	428	456	525	588
I/A Representatives	5,164	3,326	1,953	1,683	1,937	2,013
Certified Dealers	16	14	19	21	22	20
Certified Dealer Agents	86	79	88	82	96	97
Issuer Agents	87	93	107	130	169	196
Total	64,635	71,496	74,902	88,994	99,910	87,856
<u>Securities Filings</u>	<u>FY 97</u>	<u>FY 98</u>	<u>FY 99</u>	<u>FY 00</u>	<u>FY 01</u>	<u>FY 02</u>
Registrations						
Coordination	290	212	134	148	125	127
Qualification	3	9	5	8	3	1
Exemptions	321	281	223	191	86	68
Opinion/No-Action Letters	14	8	12	6	12	3
Mutual Funds	3,610	3,942	3,951	4,215	4,413	3,915
Rule 506	149	281	327	508	484	412
Total	4,387	4,733	4,652	5,076	5,123	4,526

Note: The FY02 Statistics are preliminary statistics which are subject to change after the year-end reconciliations are completed.